

Alliance for Uniform Hazmat Transportation Procedures
Application Instructions for Long Form
Revised October 10, 2005

General Instructions

- Use the "Long Form" if applicant is applying for the first time or if the applicant is renewing their permit. Use the "Short Form" if applying for annual registration renewal.
- The application may be submitted by mail or in person to the designated state agency in the applicant's base state. (A list of designated agencies is provided as Appendix A to the application.)
- The application should be completed by all motor carriers of hazardous materials who operate in states that administer the registration and/or permit programs for hazardous materials transporters, as indicated on the application cover page.
- The term "applicant" as used in the application refers to the company or individual seeking a registration or permit.
- The application must be filled out completely. ***Do not leave any item blank.*** If an item does not apply to the applicant, write "N/A" and, if appropriate, include a brief explanation.
- The application should be computer processed, typewritten, or filled out clearly and neatly with ink. Pencil will not be accepted. Illegible responses will result in your application being returned for correction.
- If the space provided on the form is not sufficient to answer any questions, attach additional sheets (in the same dimensions as the application) to the back of the application.
- Remittance of all registration and/or permit fees is required at the time the application is submitted to the base state. The base state will not process the application unless all applicable fees are enclosed.
- All questions and all information requested must be answered completely and truthfully. Fraudulent, deceptive, or misleading answers may result in denial or revocation of permit and potential initiation of enforcement activities. Applications will be returned to applicant if requested information is missing or omitted. Applicant is expected to make reasonable efforts to check his/her company records so that complete and accurate answers are provided. Falsification may subject applicant to additional penalties as provided for under state law.
- If the applicant encounters difficulty in completing the form or has any questions, please contact the base state for assistance. Correcting errors before submitting the form will greatly reduce the possibility of enforcement actions and/or delays due to return of your submittal for amendment.
- After completing all applicable sections (Parts I-III), the information must be certified by an authorized representative of the applicant in Part IV.

How to Determine What Type of Application to File

Determine the nature of the applicant's hazardous materials transportation activity (i.e., hazardous materials, hazardous waste, and/or radioactive materials) and the states in which it transports these materials.

The applicant must then determine the states in which it operates and the program "level" operated by each of the states in which it operates. See "Appendix A" of the application for a listing of participating jurisdictions and their program level.

Identification of an Applicant's Base State

All applicants shall use the following procedures for determining the base state to which the applicant **MUST** submit its application for registration and/or permit under the Uniform Program.

[1] If a motor carrier does not operate in a state that is a participating jurisdiction, the carrier is not subject to the Uniform Program and need not submit an application for a registration and/or permit.

[2] If a motor carrier operates only in a state or states that require the Uniform Program registration (Part I) and Permit (Part II) the motor carrier's base state shall be:

(A) the state that is the motor carrier's principal place of business, i.e., where the applicant maintains its central records related to the transportation of hazardous materials, or

(B) if the state that is the motor carrier's principal place of business is not participating in the Uniform Program, the state that is a participating jurisdiction in which the motor carrier records the most miles traveled based on the percentages reported in Part I, Item 31, Page 1 of the application.

[3] If a motor carrier operates in one or more states that require the Uniform Program permit, the motor carrier's base state shall be:

(A) the state that is the motor carrier's principal place of business, if such a state is a participating jurisdiction and requires the national permit; or

(B) if the state that is the motor carrier's principal place of business is not a participating jurisdiction or does not require the national permit, the state that is a signatory and requires the national permit in which the motor carrier records the most miles traveled.

(C) if the applicant transports hazardous waste in a state that requires the Part III disclosure, the applicant should STILL submit its application to the state identified above regardless of whether it requires Part III. That state, if not a Part III state, will subcontract with the Part III state in which the applicant reports the most miles in Part I, Item 31, Page 1 of the application.

[4] A motor carrier may request that the Governing Board approve a participating jurisdiction as the base state other than that identified by the method above, if, and only if, the following criteria are satisfied:

(A) such request is not based on an attempt by the motor carrier to circumvent any requirement of the Uniform Program or avoid enforcement of the program requirements by its current base state or any other participating jurisdiction;

(B) approval of the request will improve administration of the Uniform Program; and

(C) the Governing Board consults with the jurisdiction that would otherwise be the base state and such jurisdiction concurs with the motor carrier's request.

Part I. Registration Application

Most items on the application are self-explanatory. Please make note of the following:

1. Provide Legal Name as it appears on federal Form MCS-150.
2. Provide "doing business as" (DBA) name, as it appears on federal Form MCS-150.
14. Provide a 24-hour phone number where the **CARRIER** may be contacted in case of an incident or emergency involving a power unit owned or operated by the applicant company. This number can include voice-mail, an answering machine, or an answering service during non-business hours. This number CANNOT be the number for a commercial emergency response telephone service such as Chemtrec.
16. Provide the U.S. DOT HazMat Registration Number issued to the applicant by the U.S. Department of Transportation Pipeline and Hazardous Materials Safety Administration (PHMSA). If the applicant does not carry hazardous materials of a type or quantity that requires a federal hazardous materials

registration number, please put "N/A" in the space provided. [NOTE: This number changes with each annual registration. The applicant should provide the most recently issued number.]

17. Provide the applicant's USDoT Motor Carrier Number as defined in 49 CFR Part 390.21.

18. Provide the Motor Carrier Docket number issued to the applicant by the FMCSA (previously known as the ICC number).

19. Provide the U.S. EPA Identification Number for the applicant's transportation activity, if the applicant company is required to have such number in accordance with federal requirements for transporting hazardous waste under 40 CFR 263.11. EPA guidance requires the transporter "headquarters" to obtain a U.S. EPA identification number. Do not supply generator or treatment, storage and disposal facility numbers. If the applicant's services do not require an U.S. EPA ID number, please put "N/A" in the space provided.

23. Indicate whether the applicant company transports hazardous waste subject to the manifest requirements of 40 CFR 262.20 et. seq., or applicable state law relating to the Uniform Hazardous Waste Manifest.

28. Indicate the previous twelve-month period for which information in this application is provided. The applicant may use the calendar year, fiscal year, or program year (e.g., IRP registration year). If the applicant elects to change the reporting year in a subsequent application, the applicant must inform the base state of its intention.

29. Applicant shall provide the average number of power units owned, leased or operated for the time period indicated in Part 1, Section C, Item 28 on page 1. For purposes of the Uniform Program, the definition of a power unit is the same as "truck" and "truck tractor" as defined in 49 CFR 390.5. The following categories of vehicles may be excluded from the average reported.

- Vehicles that are used exclusively for the transportation of personnel, as opposed to freight, including fleet maintenance vehicles.
- Power units that do not operate on public highways.

30. If the applicant owns, leases, or operates cargo tanks, please provide the average number of units for each category [(a) and (b)] in the space provided. Otherwise, please put "NONE" in the space provided.

31. Applicant shall provide the International Registration Plan (IRP) percentages (or their equivalent) for miles traveled in each state for the previous IRP reporting year for each fleet. All percentages should be rounded to two decimal places

(e.g., 13.247 percent should be reported as 13.25 percent) and the sum of these percentages must equal 100 percent. Intrastate carriers should allocate 100 percent to the state in which they operate.

If a carrier maintains IRP mileage, it must use its IRP percentages. If the carrier maintains IFTA fuel tax reporting mileage, but not IRP mileage, it must use the IFTA percentages for this purpose. Percentages must include non-IRP and non-IFTA fleet mileage. If the carrier does not maintain mileage records for either IRP or IFTA, the carrier must calculate the apportioned mileage and provide a brief explanation of the methodology used to calculate the percentages.

32. Each applicant must provide the percentage of its operations that can be considered transportation of hazardous materials. The percentage of hazardous materials activity for less-than-truckload shipments shall be the weight of all hazardous materials shipments divided by the total weight of all shipments for either the last calendar year or the applicant's fiscal year. For truckload shipments, the percentage of hazardous materials activity shall be the number of placarded or marked shipments divided by the total number of shipments for the most recent twelve-month period for which this information is available. A carrier that transports both less-than-truckload and truckload shipments of hazardous materials shall calculate the percentage of hazardous materials activity on a proportional basis.

The applicant should place a check mark in the box next to the range that corresponds to the percentage of the applicant's total operations that involves the transportation of hazardous materials. Any worksheets or documentation that supports the applicant's answer to this item should be retained and are subject to review during an audit of the carrier's operations.

Part II. Permit Application--Certifications 1-11

EACH CERTIFICATION SHOULD BE SEPARATELY INITIALED IN THE BOX TO THE LEFT OF THE CERTIFICATION BY THE APPROPRIATE OFFICIAL OF THE APPLICANT COMPANY. *All information in the permit, including the certifications, is subject to verification through a desk or on-site audit. If all information is not found to be true and accurate, this will be grounds for withholding, suspending, or revoking the permit. If for any reason a certification does not apply to your business, please initial the certification anyway.*

Part III. Additional Information Required from Motor Carriers of Hazardous Waste

If the applicant transports manifested hazardous waste in a state that administers Part III of the Uniform Program, the applicant must provide the information requested in Sections A-G.

Section A. Incorporation

Please provide the date and place of incorporation pertaining to the applicant's current corporation filing. If the applicant is not a corporation, please indicate by putting "n/a" in response to both requests.

To assist the base state with its review of the application, the applicant **MUST** submit a table of organization showing the applicant's position relative to its parent company and any U.S. subsidiaries. If this question does not apply to the applicant's corporation (i.e., the firm is a single entity), please write "n/a" next to this item.

Each applicant must provide a staff organization chart which indicates each individual that the applicant believes is subject to the information requirements in Part III, Section C (page A-9). The chart should indicate the individual's name, title, division (if applicable), and the line of authority. The table of organization and the staffing chart should be provided as Attachment III.A to the application.

Note: There is no longer a general requirement for financial information. If, however, in the course of an application review, the base state determines that the availability of financial information will aid in the application review, the base state may request this information covering a period of not more than the past three years.

Section B. Facilities Owned and Operated

For each applicable facility, provide the following information.

- Facility Name
- Address
- EPA/State ID#
- Principal Business
- Regulatory Agency
- Permits, Licenses, Registrations Held or Applied For

This information should be provided as Attachment III.B to the application.

Section C. Identification of Key Management Personnel

For each applicable person employed by the applicant, provide the following information.

- Full Name
- Date of Birth
- Driver's License Number
- All Aliases

This information should be provided as Attachment III.C to the application.

If the applicant has any questions as to the applicability of this section to an employee, please contact the base state for clarification.

NOTE: There is no longer a fingerprint requirement for key management personnel. However, if during the initial background investigation of any individual raises questions as to his/her identity, the base state may request fingerprint cards for those individuals only.

Section D. Permits Held

Please provide the following information for each state hazardous materials registration, permit, license or similar type of credential held in the last three years.

Issuing Jurisdiction
Current or Most Recent Registration/Permit/Credential Identification Number
Years Held
Type of Material to Which the Registration/Permit/Credential Applies
HM = Hazardous Materials
HW = Hazardous Wastes
RAM = Radioactive Materials

This information may be entered directly on the application form or may be provided as Attachment III.D to this application.

NOTE: The applicant's response to this data request is compared to the states for which the applicant reports IRP mileage in Part I, Section 12b (page A-2). To aid in the base state's review, the applicant should, as part of this attachment, provide a list of states with IRP mileage in which the applicant DOES NOT transport hazardous materials, hazardous waste, or radioactive materials.

Section E. Related Business Concerns

Provide the requested information for each of the five (5) categories listed in Section E. This information should be provided as Attachment III.E to the application. If there are questions concerning the applicability of this data request to any firm or individual, please contact the base state for clarification.

Section F. Legal Proceedings

This information request applies to:

- the applicant business;
- any key management personnel identified in Part III, Section C; or
- any North American parent, affiliate, or subsidiary company.

This information should be provided as Attachment III.F to the application. If there are questions concerning the applicability of this data request to any firm or individual, please contact the base state for clarification.

Section G. Changes

The Part III permit issued by the base state is effective for three years unless notified otherwise by the base state. The applicant must still file an annual registration application with the base state and pay the appropriate fees. A motor carrier transporting hazardous waste under a Part III credential does not have to report any changes in its operations with the following exceptions.

- If there is a lapse in insurance coverage (i.e., the policies reported in Part II, Section H have expired AND have not been replaced by equal or higher coverage), this lack of coverage must be reported to the base state IMMEDIATELY.
- Within 90 calendar days, the motor carrier must report any changes in majority ownership of the credentialed company.
- Within 90 calendar days, the motor carrier must report any new convictions, associated with crimes covered under Part III, Section F-Legal Proceedings, against the applicant firm or any of the applicant's key management personnel.

This information should be submitted to the applicant's base state administering agency listed in Appendix A of this application.

Part IV. General Application Certifications

The certifications must be checked and the application must be signed by an official of the applicant company, authorized to certify applications for registrations and permits.